

# **Fiscal & Administrative Management**



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## The Big Picture

- ➔ **Approximately \$9 million available for this competition**
- ➔ **Approximately 4-6 grants will be funded**
- ➔ **Anticipated Start Date: *August 1, 2007***



## Maximum Budget

- \$1.5 million direct costs:
- does **NOT** include third party F&A
  - NIH Guide Notice, November 2, 2004:
  - <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-05-004.html>
- 3% escalation of *recurring* direct costs per out-year

Consideration of *equipment* in the out-years will be based upon justification and availability of funds.

Recurring (ex. Personnel, Supplies, phone usage...)

## Budget Format (Non-Modular)

### Provide detailed categorical budgets

- ➔ Each Project
- ➔ Each Core
- ➔ Each 3<sup>rd</sup> Party Participant

### Use 398:

Form Page 4 – Detailed Composite Budget for 1<sup>st</sup> 12-month period

Form Page 5 – Composite Budget for All Years

### ALL Individual Budget Pages should be:

- ➔ together in Part 1 of the application
- ➔ be labeled (Project # or Core Name and/or Subcontractor name)

## Budget

### Budget Justification - detailed and specific

#### Personnel Considerations

- What is their effort on the project? ***MUST be more than 0 person months***
- Has the appropriate institutional base salary been included? ***Show the current institutional base salary for all employees including those that are starting work in future years***
- Is a justification and description included for each individual's role in the project?

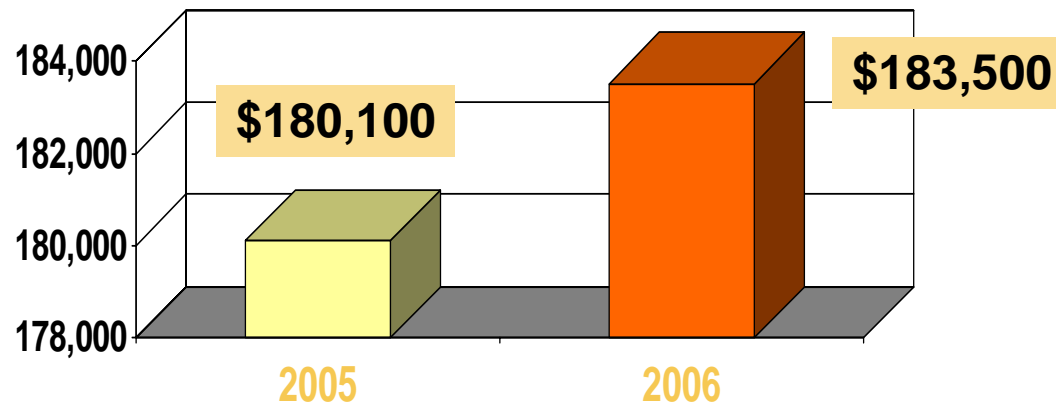
#### Graduate Student Compensation

- Zero level NRSA postdoc stipend in effect at the time of award (\$36,966 – includes “salary or wages, fringe benefits and tuition remission)
- No adjustments will be made to noncompeting award levels or future years
- <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-017.html>

## Budget Categories Continued

### Salary Cap

- ➔ Restricts the amount of direct salary under a grant or contract to Executive Level I of the Federal Executive Pay Scale.
- ➔ Executive Level I increase effective January 1, 2006.



January 12, 2006 NIH Guide Notice:

<http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-06-031.html>

Salary Cap Summary (Historical Information):

[http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm)

## Budget Categories Continued

### Travel Requirements

#### Attendance at Annual Meeting:

***Required*** – PI & Lead Physician-scientist,

***Optional, but encouraged*** - 3 additional participants

## Prior to Award Being Made

- IACUC Approval\*
- IRB Approval\*

**\*Start this process early-- Awards could be significantly delayed**

- Other Support – must be complete & up-to-date

**NIH Policy states that a specific level of effort must be provided**

**“0”, “Varies”, “As Needed”, etc., are not acceptable**

**Total *cannot* equal more than 12 person months**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-029.html>

[http://grants1.nih.gov/grants/funding/phs398\\_ver0904/PolAssurDef.doc#\\_Toc86476571](http://grants1.nih.gov/grants/funding/phs398_ver0904/PolAssurDef.doc#_Toc86476571)



## Person Months: FAQs

### *What is the definition of person months?*

- The metric for expressing the effort (amount of time) that PI(s), faculty and other senior personnel devote to a specific project.
- Effort is based on the organization's regular academic, summer, or calendar year.

### *How do you calculate person months?*

- Multiply the percentage of your effort times the number of months of the appointment. For example:

10% of a 9 month academic year appointment ( $9 \times .10 = .9$  person months)\*

10% of a 9 month academic appointment plus 50% of a 3 month summer appointment ( $9 \times .10 + 3 \times .50 = 2.4$  person months)\*

**\*Actual figures for person months should be included in appropriate columns – do not round up or down.**

### *How do I know if I'm over committed?*

- Personnel with over 12 person months would be the indicator of over- commitment (i.e. 12 person months translates to 100% effort).

[http://grants.nih.gov/grants/policy/person\\_months\\_faqs.htm](http://grants.nih.gov/grants/policy/person_months_faqs.htm)

## NIH Moves Towards Paperless Notification Process

The NIH announced it is eliminating mailing of the following paper notifications:

- Summary Statements – Effective October 1, 2005
- Peer Review Outcome Letters – Effective February 1, 2006

**PIs and Fellows can access this information through the eRA Commons.**

In order to avoid delays in the e-notification process, it is vital that grantees and PIs register in the eRA Commons and periodically check e-mail addresses for accuracy. PIs should consult with their business office for creating a Commons account.

**eRA Commons Home Page:** <https://commons.era.nih.gov/commons/>

**NIH Guide Notice, September 8, 2005:**  
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-075.html>

## eRA Commons' Functionality

- Administration
- Just-In-Time (JIT) Information
- Request for No-Cost Extensions
- Financial Status Reports (FSR)
- Closeout
- Electronic Streamlined Non-Competing Award Process (eSNAP) (Note: eSNAPs increased fourfold from FY 2004 to FY 2005)
- Internet Assisted Review (IAR)
- Demo Facility

## eRA Commons' Functionality: Important for Investigator Access

### *Status*

- Priority Score\*
- Summary Statement\*
- E-Submission application
- Notice of Grant Award

\* This is the only place for PIs to access  
this information



## NIH Policy on Late Submission of Grant Applications

- **NIH expects grant applications to be submitted on time**
- **Late applications**
  - Generally are not accepted, except in rare instances
    - Unaccepted late applications will be returned without review
- **NIH will generally not consider accepting late applications for the Special Receipt Dates for RFAs and PARs**

**NIH Guide, January 27, 2005**

<http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-05-030.html>

## Updated Instructions Regarding Inclusion of Publications as Appendix Materials

- Effective for Applications beginning with May 10, 2006 submission date
- Publications acceptable in the Appendix are as follows:
  - ***Publications in Press:*** Include only a publication list with a link to the publicly available on-line journal or the NIH PubMed Central ID # (not the entire article)
  - ***Manuscripts accepted for publication, but not yet published:*** Entire article may be submitted as a PDF attachment for electronic submissions or in hard copy for paper applications.
  - ***Manuscripts published without an on-line journal link:*** Entire article may be submitted as a PDF attachment for electronic submissions or in hard copy for paper applications. ***\*Do not include manuscripts submitted for publication***
- Applies to all grant mechanisms which publications are acceptable material regardless of application form used or mode of submission (paper or electronic)
- Refer to instruction guides and specific Funding Opportunity Announcements to determine limit on allowable # of publications. **Note: There are no other changes to current Appendix components.**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-051.html>

**Clarification:** <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-053.html>



*DISCOVER*

Disease Investigation through Specialized Clinically  
Oriented Ventures in Environmental Research

## **Additional Informational Slides**

## Not applicable for RFA ES06-001

### NIH Plans to Recognize Multiple Principal Investigators

- In 2006, the National Institutes of Health (NIH) will begin to implement a Federal-wide policy to allow more than one Principal Investigator (PI) on individual research awards.
- The NIH will make the multiple-PI option available for applications submitted in response to a selected group of Funding Opportunity Announcements (i.e. Requests for Applications [RFAs) and Program Announcements [PAs]) with May-June 2006 receipt dates.
- This presents a new and important opportunity for investigators seeking support for projects or activities that clearly require a “team science” approach and which do not fit the single-PI model.
- Implementation Plans: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-036.html>

OER's Multiple PI Website: [http://grants.nih.gov/grants/multi\\_pi/index.htm](http://grants.nih.gov/grants/multi_pi/index.htm)



## Change in Business Process:

### *PI Signature Replaced w/ Institutional Compliance Requirement*

- The signature of the PI is no longer required as part of a submitted application, Progress Report, or Prior Approval.
- Instead, the applicant organization agrees to secure and retain a written assurance from the PI prior any submission.
- Applicants must retain a unique signature and date for each submission.
- When multiple PIs are involved, an assurance must be retained for all named PIs.

## Interim Changes to the PHS 398 (Rev. 4/2006)

### *Changes Include:*

#### ➤ **Measuring Effort Devoted to Projects:**

- Person Months (appt. x % of effort = person months) now used regardless of which forms are used (i.e. PHS 398, SF 424 R&R, etc.)

#### ➤ **Revised Requirements for Select Agent Research:**

- Research Plan revised to include new Section G. for Select Agent Research
- Resource Format Pg. revised to request specific info on biocontainment resources
- Policy/Assurance/Definitions in Part III revised w/ new websites.

#### ➤ **Eliminating Biographical Sketch Subsection Limits**

- No longer a 2-page limit on sections A&B
- 4 page limit remains on entire biographical sketch (including table)

#### ➤ **Removal of Instructions & Data Requirements for Programs Transitioned to SF424 (R&R)**

- SBIR/STTR (R43/R44 & R41/R42)
- AREA Applications (R15)
- Conference Applications (R13/U13)

## NIH Policy on Data Sharing

**Investigators submitting a research application requesting \$500,000 or more of direct costs in any single budget period to NIH on or after October 1, 2003 must include a plan for sharing final research data for research purposes, or state why data sharing is not possible.**

**NIH Guide Notice, February 26, 2003:**

**<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-032.html>**

**NIH Guide Notice, October 16, 2001:**

**<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-004.html>**

## Helpful Web Sites

### Discover Website:

<http://www.niehs.nih.gov/dert/discover/home.htm>

### PHS 398 Instructions:

<http://grants1.nih.gov/grants/funding/phs398/phs398.html>

### Other Support:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-029.html>

### Student Compensation:

<http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-06-026.html>

<http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-02-017.html>

### Salary Cap:

<http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-06-031.html>